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Brown University is dedicated to supporting, maintaining and advancing a scholarly community in which all share together in the common enterprise of learning. The University prides itself on a strong tradition of effective communication, collaboration and mutual respect.

Brown employees share a commitment to performing their duties in accordance with the highest standards of ethics and in compliance with University policies and all applicable laws. Employees are best able to satisfy this commitment when they understand their entitlements and have been provided with the information needed to comply with the University’s policies and high ethical standards.

This guide summarizes certain key responsibilities and rights of Brown employees. The guide is not a replacement for the actual policies and procedures of the University, nor does it cover every potential situation, but it does establish general principles and specifies where to obtain more detailed information. Employees are encouraged to contact the Human Resources Department, visit the University’s web site or consult knowledgeable staff in a department for assistance in finding more information on topics not specifically addressed here.
The Positive Work Environment
Brown University is committed to assuring that all employees, regardless of their position or level, are treated with dignity and respect. Our philosophy of equitable treatment of all employees includes a commitment that human resource policies will be applied in an evenhanded and unbiased manner.

Additional information regarding Brown’s Human Resources Philosophy can be viewed at HR Policy #20.001, Human Resources Philosophy:
www.brown.edu/Administration/Human_Resources/policies/20.001.html

Equal Employment Opportunity
Brown University does not discriminate against any person because of race, color, religion, age, national or ethnic origin, disability, status as a veteran, sexual orientation, gender identity, gender expression, or sex, except where sex is a bona fide occupational qualification. The University has developed an affirmative action program and insists on a good-faith effort on the part of its employees to comply with the program. As affirmative action implies, Brown University will continue to make strong, positive efforts to ensure that minorities, women, disabled persons and veterans are given full opportunity for employment, upgrading, counseling, training, and for participating in all University-sponsored programs and social activities. The University will request and expect its agents and those with whom it conducts its affairs to meet the commitments of this important program.

The Office of Institutional Diversity is responsible for the coordination and oversight of the University’s Affirmative Action and Equal Employment Opportunity programs. Information is available for employees of Brown University to familiarize themselves with both programs, to explain the laws governing the underlying concepts, and to outline the procedures practiced by Brown University to ensure their implementation.

Topics include:
• Corporation Statement on Nondiscrimination.
• Brown’s Policies regarding Individuals with Disabilities in the employment context.
• Veterans Assistance in the employment context.
• Listing of Internal and External Resources for issues, including complaints, regarding these topics.
Discrimination and Harassment

Brown University does not tolerate unlawful discrimination or harassment. Unlawful discrimination is defined by federal and/or state statutes to include unfavorable or unfair treatment of a person or class of persons because of race, color, religion, sex, national origin, age, disability, veteran status, sexual orientation, gender identity, and gender expression. Unlawful harassment is harassment that refers to or is based upon the protected status of the person or persons being harassed. Unlawful harassment in the workplace has been committed if the conduct of an employee is serious enough to interfere with another employee’s ability to perform his or her job. Regardless of whether the harassment in question amounts to a violation of the law, it may amount to a violation of the University’s policies.

Employees can report allegations of discriminatory and/or harassing behaviors without fear of retaliation. Brown will investigate reports of alleged discrimination and/or harassment and take reasonable care to prevent and promptly correct any behaviors which are found to be in violation of Brown’s policies prohibiting discrimination and harassment.

Additional information on what constitutes discrimination and harassment, where to report it, how it is handled and other aspects are described in detail and available in hard copy by contacting 863-2389 or can be viewed online at: www.brown.edu/Administration/EEO-AA/

The Human Resources Policy regarding Discrimination and Harassment can be viewed online at: www.brown.edu/Administration/EEO-AA/discrimpol1.html

Sexual Harassment

Sexual harassment is both a form of discrimination and harassment and is prohibited by law and by University policy.

Brown University, through its policies and procedures, seeks to provide an environment that is free from sexual harassment and sexual assault. Such conduct seriously undermines the atmosphere of trust and respect that is essential to a healthy work and academic environment.

This policy applies to all members of the University community both on- and off-campus, including Brown University sponsored events and activities. Sexual harassment may involve the behavior of a person of either sex against a person of
the opposite or same sex, and occurs, among other things, when such behavior constitutes unwelcome sexual advances, request for sexual favors, and other unwelcome verbal or physical behavior of a sexual nature.

**Important:** Sexual harassment need not be intentional. Under Brown’s sexual harassment policies, the intent of the person who is alleged to have behaved improperly is not relevant to determining whether a violation of Brown’s policy has occurred. The relevant determination is whether a reasonable person could have interpreted the alleged behavior to be sexual.

*Additional information on what constitutes sexual harassment, where to report it, how it is handled and other aspects are described in detail and available in hard copy by contacting 863-2389 or can be viewed online at:*  
www.brown.edu/Administration/EEO-AA/sexpol.html  
A condensed version is available in hard copy by calling 863-2389 or can be viewed online at:  
www.brown.edu/Administration/EEO-AA/sexbroch.html  
The Human Resources Policy regarding Sexual Harassment can be viewed online at:  
www.brown.edu/Administration/Human_Resources/policies/20.072.html

**Brown Card**
The Brown Card is the official Brown University identification card. All faculty, staff and students are required to obtain a Brown Card for identification, security and access to University buildings and services. While on campus, employees should carry their Brown Card at all times. Only the person to whom it is issued may use the Brown Card.

*Additional information can be viewed online at:*  
www.brown.edu/Administration/Student_Financial_Services/Browncard/Information/about.shtml

**Ethical Behavior and Adherence to University Policy**
**Is Every Individual’s Responsibility**
All staff members, as members of the University community are expected to take personal responsibility for their actions, conduct themselves in an ethical manner, and maintain satisfactory job performance. Appropriate measures may be taken for violations of Brown University’s policies and practices, including disciplinary action up to and including termination of employment.

The University encourages community members with concerns about possible unethical behavior or noncompliance with University policy to discuss them with supervisors, department coordinators, managers, department chairs or deans.
Respect for University Resources
All community members must respect the general resources and physical property of the University. Such resources are assets in which community members have a vested interest, as these resources specifically support the institutional mission.

Work Effort and Commitment
Standard work hours are 37.5 hours a week. During working hours, the highest priority of staff members must be to focus on and commit to work for the University. Each staff member is asked to exhibit professionalism at all times and to exercise good judgment. This includes, but is not limited to:

- Dressing appropriately for the work environment and the employee’s position.
- Ensuring that the work of the University is not disrupted by the presence of persons not employed by Brown (e.g., relatives, children or friends).
- Minimizing personal telephone calls. Long distance personal telephone calls must be charged to the individual’s home phone or telephone card. All personal telephone calls made or received during the work day must be brief and may not interrupt work being performed.

For further details, refer to HR policy #20.061, General Conditions of Employment, online at: www.brown.edu/Administration/Human_Resources/policies/20.061.html

Confidentiality
Safeguarding Confidential Information
Access to confidential information will be limited to those having a need to know. From the commencement of employment at Brown University, employees may not disclose University confidential information to any other person or entity without prior written authorization from the University.

Anyone who receives confidential information has a responsibility to maintain and safeguard this information and use it with consideration and ethical regard for others. Circumventing or attempting to circumvent restrictions on the use and dissemination of confidential information is considered a serious offense. Brown employees must not divulge non-public information regarding the University to an outside party or to those within the University except for legitimate business, research, or academic purposes. Based upon the nature of their responsibilities, certain departments have established stricter standards for confidentiality. In those cases, the stricter departmental standards will apply. University information that includes prospective tuition, financial aid, or salary plans may not be directly exchanged with another institution.
At the conclusion of employment with Brown, all employees are required to return all University documents and records, especially those containing proprietary information. Employees are bound by the requirement not to reveal confidential University information even after they leave Brown employment. Questions regarding Brown’s confidential information should be directed to the employee’s supervisor, the University’s General Counsel or to the Human Resources Office.

Employees may not disclose to unauthorized persons or use for their own personal benefit or profit of another, any confidential information that they obtain as a result of their employment at Brown. This obligation continues after an employee’s employment with the University ends.

Other applicable standards and policies can be viewed online at:
www.brown.edu/Facilities/CIS/policy/protectioninfo.html
www.brown.edu/Administration/Human_Resources/policies/20.063.html
www.brown.edu/Administration/Research_Administration/wwww/ora-handbook/secvipol/misconduct.html
www.brown.edu/Administration/Research_Administration/nwww/policies/polyandproce.htm
www.brown.edu/Administration/Research_Administration/nwww/sponsored/handbook.html
www.lifespan.org/research/Policies/policydirectory.htm
www.brown.edu/Administration/Public_Safety/

Safeguarding Confidential Medical Information
Brown has established strict guidelines in accordance with federal law to protect medical information that may be provided to staff supervisors and other staff members.

Generally, supervisors are limited to the acquisition of medical information in accordance with the University’s Sick Time policy. This information includes only general information about employee medical absences. Where an employee is submitting documentation with specific information about a medical condition or status, the document must be forwarded to the Benefits Office rather than being provided to a supervisor. In all cases, medical information should be kept separate from employee personnel files and its availability must be limited to a need-to-know basis.

For further details refer to: HR Policy #30.022, Sick Time online at:
www.brown.edu/Administration/Human_Resources/policies/30.022.html
Conflict of Interest Guidelines

All decisions and actions taken by members of the Brown community in the conduct of University business shall be made in a manner that promotes the best interests of Brown University.

Members of the Brown community must disclose any outside activity that is, or may be perceived as, a conflict of interest or commitment so that these activities can be managed properly.

The Brown University Conflict of Interest and Commitment Policy and its related guidelines apply to all Brown employees. The University recognizes that members of the Brown community perform various functions on its behalf. A particular outside interest, activity, or relationship that is a conflict for one member may not be a conflict for another member due to their different areas or levels of influence on University business. Therefore, while every member of the community is subject to the general policy, different members of the community are subject to different procedures and/or disclosure requirements. Certain administrative positions and/or units may be subject to additional guidelines, procedures, and/or disclosure requirements, consistent with the general policy.

A conflict of interest may take many forms but arises when a member of the Brown community might be able to use the authority of his or her Brown position to:

a) Influence the University’s business decisions in ways to give improper advantage or financial benefit to oneself, a family member, or associate.

b) Obtain for oneself, a family member, or an associate a financial benefit beyond the compensation he or she is authorized to receive for performing his or her University responsibilities.

A conflict of commitment occurs when a commitment to activities outside of one’s University responsibilities interferes with a member of the Brown community’s capacity to meet his or her University responsibilities.

It is recognized that some outside service and professional responsibilities of members of the Brown community can and do benefit Brown. In the case of administrative officers and members of the staff, the time allowed for service to other organizations depends on the person’s job responsibilities and his or her supervisor’s expectations for that employee’s level of involvement with professional and community organizations.
Solicitation in the Workplace
The workplace may not be used for commercial or political solicitation by employees or by outside persons, agents, or interests.

In order to prevent disruption to University operations, interference with work, and inconvenience to other employees, employees may not engage in solicitation or distribution of literature of any kind during working time except as indicated below. Employees who are not on working time, such as lunch or rest breaks, may not solicit any employee who is on working time for any cause or to distribute literature of any kind. Working time does not include break time, meal periods, or other periods during which an employee is not required to perform their job duties.

The limited sale of raffle tickets, Girl Scout cookies, or merchandise for charitable causes, may be allowed if approved by the supervisor and limited to a general work area.

Political Activity Guidelines
Brown University encourages and supports the free exchange of ideas and political viewpoints. However, as a non-profit, private institution of higher education whose activities are regulated in part by Section 501(c)(3) of the Internal Revenue Code, the University is prohibited from engaging in partisan political activity or permitting its resources to be used for support of such activities.

Administrative officers, faculty, staff and students of the University are free to express their individual and collective political views provided they understand and make clear they are not speaking for, or in the name of, Brown University. Neither the University name, nor that of any University entity supported in part or whole by University funds, nor the University insignia, may appear on stationery or any other material used or intended for political purposes. Contributions to political candidates by members of the Brown community must be made in the name of the individual, not on behalf of Brown.
Student Athlete Regulations

Brown University takes pride in sponsoring one of the nation’s largest and most comprehensive Division I intercollegiate sports programs. The athletic program plays an essential role in teaching students to conduct themselves with honesty and integrity, make sacrifices, strive for excellence, persevere through adversity, and compete with dignity and pride while developing a commitment to teamwork and service to the community. Everyone involved in intercollegiate athletics at Brown is expected to help maintain the highest level of integrity and to make every effort to follow the rules set forth by the Council of Ivy League Presidents and the National Collegiate Athletic Association. These regulations govern interactions between prospective and current student athletes and University employees. In addition, they cover relationships with parents, guardians, boosters and donors. Please contact the Athletic Department Compliance Officer if you have questions about your relationship with student athletes or others.

Additional information may be viewed online at:
http://brownbears.cstv.com/compliance/brow-compliance.html

Appropriate Interactions with Students

Brown employees have a special obligation to respect appropriate boundaries while demonstrating ethical, professional, and compliant behavior in interactions with students.

Appropriate standards for relationships between staff and students may be viewed online at:
www.brown.edu/Administration/EEO-AA/sexpol.html http://www.brown.edu/Administration/EEO-AA/sexbroch.html
www.brown.edu/Administration/Human_Resources/policies/20.072.html
www.brown.edu/Student_Services/Office_of_Student_Life/randr/principles.html
brownbears.cstv.com/compliance/brow-compliance.html

Appropriate standards for relationships between faculty and students can be viewed online at:
www.brown.edu/Faculty/Faculty_Governance/rules.html

Audits, Investigations and Legal Proceedings

All employees must cooperate fully with any audit, inquiry or investigation undertaken at Brown’s direction by its attorneys, investigators, internal auditors or independent public accountants.

In addition, employees should not:

- Destroy or alter any documents in anticipation of a request for those documents from any government agency or a court
- Lie or make any misleading statements to any government investigator or University representative
• Attempt to cause any other employee, or any other person, to fail to provide information to any government investigator or to provide any false or misleading information

• Mislead an auditor by providing or causing others to provide false, incomplete or non-responsive information

It is the policy of Brown University to investigate specific allegations of employee misconduct or allegations of fraud involving University accounts or operations, and to hold employees responsible for breaches of ethical behavior or illegal acts committed against the University or on University property. The University will conduct these investigations in a manner that protects the civil rights of those who may be the subject of allegations.

Employees who in good faith report suspected criminal activity or the disregard of regulations or policy applicable to University activities are protected against retaliation by the University for making such a report.

Audits

Brown University’s information and operations are subject to audit by internal auditors employed by the University, external auditors contracted by the University, and third parties such as federal and state regulators or research sponsors. Most audits are for routine assurance purposes. Investigations are considered non-routine audits, undertaken when an allegation has been made of fraud, certain other misconduct, or serious regulatory or policy noncompliance. All employees have an obligation to report to the University Auditor, or other appropriate administrative officer, any suspected theft, fraud, embezzlement, destruction of property, or any other irregularity causing a loss, and to cooperate in its investigation. Employee’s responsibilities in an audit or investigation are limited to responding to auditors honestly and supplying requested information and documents without fabrication.

Internal audits are conducted under the auspices of the University Auditor in accordance with authority granted by the Corporation of the University. This authority provides the University’s internal auditors with unrestricted access as necessary to all University activities, records, property, and personnel for the purpose of carrying out audits and investigations. Any concern that the University Auditor has abused his or her authority or access should be reported directly to the Executive Vice President for Finance and Administration or the chairperson of the Corporation’s Audit Committee.
Before responding to external or third-party auditors, employees should assure themselves that the applicable central office of the University is aware of the audit. Employees may contact the University Auditor, the Controller’s Office, or the Office of the General Counsel if there is any question about this or if assistance or advice in responding to the outside auditors is desired.

Government Investigations and Litigation Against the University

The Office of the General Counsel has primary responsibility for representation and defense of the University with respect to litigation, including adversarial actions requiring formal representation filed with state and federal courts, and administrative agencies. Employees should immediately report any litigation threatened or begun against them, based on the performance of the responsibilities of their position at Brown, to their supervisor and the Office of General Counsel.

It is also important that the Office of the General Counsel have early knowledge of the initiation of investigations by governmental entities to determine appropriate levels of involvement, participation, and access to University personnel, information or files, or to draft responses to written questions. For investigations where departments have the specific technical expertise relative to the nature of the investigation, the departments should inform the Office of the General Counsel of the investigation, but will have primary responsibility in the investigative process and conclusion. Such government investigations may cover a range of programs and activities, including, but not limited to, compliance with fair employment practices, affirmative action and equal opportunity regulations, both federal and state, Environmental Protection Agency requirements, antitrust laws, NCAA regulations, and audits of national grants and funds.

No employee shall initiate legal action in the name of or on behalf of the University.

Environmental Protection and Employee Safety

Environmental Protection

As members of the University community, employees have a commitment to the protection of the Brown community environment and the health and safety of its members. The University provides information and training regarding environmental and health and safety policies and practices. Community members are obliged to comply with applicable federal, state and local environmental laws and safety regulations. Employees should report violations of environmental or safety laws to supervisors or University officials.
Information regarding management, implementation and enforcement of environmental policies can be viewed online at:
www.brown.edu/Administration/Provost/Environmental_Policy.html

Workplace Violence
The University requires a work environment free from violence, threats of violence, harassment, intimidation, stalking, domestic violence, and other disruptive behavior. Employees have a responsibility to report acts of intimidation or violence. This policy applies to all work locations including offices, worksites, vehicles, and off-campus locations.

Additional information can be viewed online at:
www.brown.edu/Administration/Human_Resources/policies.html

Smoking
For reasons of public health, and in compliance with Rhode Island law, employees may not smoke indoors in any building at Brown University. This prohibition extends to all public areas, including but not limited to employee lounges, hallways, lecture halls, classrooms, conference rooms, rest rooms, rental space, private offices, and sports arenas. In addition, smoking is prohibited in all residence halls and dining facilities. Employees are permitted to smoke outside, provided that there will be no migration of smoke into the workplace. Smoking at a distance of at least 35 feet from the entrance to any University building should be appropriate to prevent smoke migration. Employees with questions or concerns about the implementation of this policy should contact the Assistant Vice President for Human Resources or the Director of Environmental Health and Safety. Employees should report violations of this policy to their supervisor.

For further details refer to: HR Policy #20.064, Smoking in University Buildings online at.
www.brown.edu/Administration/Human_Resources/policies/20.064.html

Drugs in the Workplace
All employees are prohibited from the unlawful manufacture, distribution, dispensing, possession or use of illegal drugs and controlled substances. Abuse or misuse of alcohol, illegal drugs or prescription medications on Brown’s premises or as part of University activities, in vehicles owned or provided by Brown, or at work sites at which University duties are being performed by employees is prohibited. Reporting to work or working while impaired by alcohol or illegal drugs is also prohibited. In addition, the use of alcohol or illegal drugs while using machinery or heavy equipment owned or operated by Brown is also prohibited.
Examples of substance abuse and misuse related behaviors not tolerated by the University include, but are not limited to:

- Alcohol use by employees at Brown that interferes with employees’ abilities to effectively perform the responsibilities of their positions.
- Reporting to work or working while impaired by alcohol or illegal drugs.
- The use, sale, manufacture, possession, or distribution of alcohol or illegal drugs while at work.
- The inappropriate use of prescription or over-the-counter drugs (i.e., use in excess of medical necessity as determined by the prescribing physician, or to the extent that it impairs the employee’s ability to perform his or her job) or use of prescription drugs not prescribed to that employee.
- Commission of a crime involving the use, possession, sale or distribution of any controlled substance.
- Failure to report to the University (within five (5) days of the conviction) any conviction of a violation of a criminal drug statute that occurred in the workplace.
- Furnishing alcohol to those on campus under the age of 21.

Employees with a substance abuse problem are encouraged to request assistance through the Employee Assistance Program (EAP) before it results in a negative impact on the employee’s job performance. Participation in the EAP program does not exempt an employee from the consequences of past actions which have occurred, or from the proper performance of assigned duties.

Corrective action required as a result of violations of this policy could include satisfactory participation in a substance abuse treatment, counseling or education program as a condition of reinstatement or continued employment with the University, suspension, termination of employment, and referral for prosecution.

HR Policy #20.042, Drugs in the Workplace, was issued, in part, to ensure compliance with the Drug-Free Workplace Act of 1988.

This policy, and additional information can be viewed online at: [http://www.brown.edu/Administration/Human_Resources/policies/20.042.html](http://www.brown.edu/Administration/Human_Resources/policies/20.042.html)
Reporting Illegal Acts and/or Misconduct

The Brown University Department of Public Safety (DPS) endeavors to make the campus a safe place to work, live and study. It is committed to community-oriented philosophies to serve, protect and provide valuable information to the Brown community. The success of these initiatives depends upon a partnership between the Department of Public Safety and the University’s diverse community - a partnership built upon mutual respect, trust and responsibility.

Every employee is obligated to abide by state and federal law, report crimes and evidence of wrongdoing, and cooperate with investigations conducted by DPS and University officials.

Contacts

<table>
<thead>
<tr>
<th>To report an emergency or crime in progress</th>
<th>Brown University’s Department of Public Safety</th>
<th>863-4111</th>
</tr>
</thead>
<tbody>
<tr>
<td>To report non-emergency situations</td>
<td>Brown University’s Department of Public Safety</td>
<td>863-3322</td>
</tr>
<tr>
<td>To report a criminal offense in Providence</td>
<td>Providence Police</td>
<td>272-3121</td>
</tr>
<tr>
<td>To report information regarding a crime</td>
<td>Brown University’s Tips &amp; Rumor Hotline</td>
<td>863-2200</td>
</tr>
<tr>
<td>(This is not a recorded line and you may remain anonymous.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To provide information regarding a crime</td>
<td>Brown University’s Silent Witness Program</td>
<td>follow link below</td>
</tr>
<tr>
<td>(The Silent Witness Program allows anonymous reporting of non-violent crime online. It is not for crimes in progress.)</td>
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Additional Information may be viewed online at:
www.brown.edu/Administration/Public_Safety/CCR/2004/#filing
The Silent Witness Form may be accessed online at:
www.brown.edu/Administration/Public_Safety/ccforms/silentwitness.html

Suspected Fraudulent Activity

To notify the University Auditor of all suspected or known fraudulent activities involving University accounts, operations, or research, contact the Department of Internal Audit at 863-1593.

Additional Information can be viewed online at:
www.brown.edu/Administration/Internal_Audit/Web.charter.html
In addition to the resources outlined above, numerous avenues exist to report perceived misconduct and seek guidance. Many of these avenues are outlined in this guide. Guidance may be obtained from your supervisor or the University’s Human Resources Department. The Human Resources Department may be reached at 863-3175.

Research Administration, Scientific Misconduct, Intellectual Property

Research Administration

The Office of Sponsored Projects (OSP) assists departments and faculty members in the identification of funding sources, preparation of proposals and negotiation of agreements, and offers administrative support during the progress and close-out of sponsored project activities. The Director of OSP is the University designated administrative official for signing all proposals for externally sponsored activities.

Additional information can be viewed online at:
www.brown.edu/Administration/Research_Administration/nwww/ORA_Services.html

Research Administration Policy

Brown is one of the top 100 universities receiving support from the federal government for faculty research and scholarly activities. This level of support requires first-rate faculty, graduate students, and research support staff, but also requires a staff of administrators to assist faculty in seeking external sponsorship and to administer grants and contracts once awarded. This responsibility is vested in the Office of the Vice President for Research, specifically in its Office of Sponsored Projects. These offices are primarily responsible for maintaining “accountability” to both the University and to the sponsors of the University’s programs. In addition, the Research Advisory Board, appointed by the Vice President for Research, is charged with considering and recommending policies and procedures relating to sponsored program activities of Brown University. The operational aspects of proposal review and grant/contract administration are focused within OSP.

The Sponsored Projects Handbook is intended to identify, clarify, explain, and assist faculty investigators and department administrators so they are better informed and, therefore, better able to operate and maintain productive sponsored programs.
Scientific Misconduct Policy
The community of Brown University condemns any form of dishonesty or misconduct in research and accepts responsibility for developing and maintaining the highest standards of intellectual integrity. A climate of intellectual honesty implies that all scholars have an obligation to conduct research in a manner reflecting these principles.

If it should appear that an incident of scientific misconduct may have occurred in this community with regard to any instances of alleged misconduct, fraud, or unethical behavior arising out of the performance of scholarly research, the matter should be reported immediately to the Vice President for Research who will be responsible for implementing the University’s procedure for following up on allegations of misconduct.

Brown’s Intellectual Property Policy
Universities, whose missions are the creation and dissemination of knowledge, have special responsibilities for the protection and use of intellectual property, both that of their own faculty, staff and students, and that of others.

The University’s Intellectual Property policy outlines the proper handling of intellectual property created by its faculty, staff and students, and under what conditions titles to that intellectual property resides in the University. The policy is consistent with the policies of our peer institutions and colleague universities, and compliant with the federal regulations that govern intellectual property created through the use of federal funding.

a. Copyright and Fair Use
Brown University expects that all members of the University community will respect the rights of ownership of intellectual property by adhering to United States copyright laws. The principle of fair use, as set forth in the copyright act, provides essential limitations to the exclusive rights of copyright owners
that support the University's mission of teaching, scholarship, research, and free inquiry. In an effort to balance copyright law with fair use principles, Brown University provides tools and resources to its community to assist decision-making in this complex environment.

The information outlined here is meant to provide some guidance to faculty, staff and students, but cannot take the place of individual judgment. It is the responsibility of every person at Brown who wants to use potentially copyrighted materials to obtain permission before making copies or using it. A web page has been provided to assist members of the community who want to know more about copyright and fair use law.

Additional information can be viewed online at:
www.brown.edu/Administration/Copyright/

b. Trademarks

Universities have distinctive faces and personalities. Each time Brown University communicates with its audiences, there is an opportunity to strengthen public awareness of its unique character and mission. Those who see Brown’s publications and Web sites form impressions that become the basis for long-lasting attitudes and opinions. Such opinions influence actions such as whether an excellent high school student puts Brown at the top of his list, whether a sought-after scholar decides to join the faculty, whether a foundation awards a major grant, or whether an alumna endows a scholarship program, to name a few.

When an individual program sends a positive message to the public, Brown’s overall reputation is strengthened. Similarly, as the University’s reputation and visibility get stronger, every program benefits. Brown community members who publish information should be aware of the official letterhead, logos and symbols to be used in Brown communications. Official letterhead, along with Brown University logos and symbols provided to staff members in the course of performing their duties, must be used only for work-related purposes. These trademarks may not be used by a staff member in his or her individual capacity, such as during an expression of an individual political view or to further a purely private business interest.

Trademarked images, along with more information about usage, can be viewed online at:
www.brown.edu/webmaster/visual_identity/
Utilization of University Resources and Assets

University Resources

All employees share in the responsibility to safeguard and preserve the assets and resources of the University, particularly those for which the employee is directly responsible.

University facilities, computers, vehicles, equipment, phones, faxes, photocopiers, postage, and office supplies are to be used to support its teaching, research, service, and administrative functions. University employees may not use such resources (including any person, money, or property) under their official control or direction or in their custody, for personal benefit or gain, or for the benefit or gain of any other individual or outside organization. Equipment or materials purchased with Brown funds are the property of Brown University.

It is understood that minimal use of equipment such as phones, faxes, copiers/printers or related services (such as electronic mail) for personal communication will occasionally take place and is allowable as long as it is infrequent, generally occurs outside of regular work hours or during breaks, does not interfere with University operations, and does not involve activity or behavior that is unlawful or inappropriate in the workplace.

University equipment or property or that of other employees may not be removed from the workplace without permission of the department head, and such property must be returned along with the employee’s keys, identification card, building access card, laptop, PDA, phone calling card, University-issued credit or purchasing card, cell phone (if applicable), and any other University property prior to separation from employment.

University resources may not be used for the purpose of non-University business enterprises and should not be used in a way that seems to connote Brown sponsorship of personal ventures or that creates additional cost or expense to the University.
University Assets

- Employees must not show willful disregard for University assets or property.
- Employees should report improper care or use of University assets/property or unsafe physical conditions to their supervisor, manager, or to the Insurance Office at 863-9481.
- Departments are strictly prohibited from gifting or selling surplus materials directly to Brown faculty, staff, students, and other individuals.

Additional information on the disposition of surplus property can be viewed online at:
www.brown.edu/Administration/Finance_and_Admin/Purchasing/

Responsible Use of Network and Computing Resources

Electronic information systems and network services are made available for use by employees to conduct University business and are not to be used for political activities or personal economic gain and must not be used in a manner which violates federal, state or local laws or regulations.

One should not expect email privacy when connected to the Brown University network. University employees may inadvertently be exposed to email in the course of their work. In cases where information is inadvertently exposed, employees are required to keep the contents confidential. Remember that email is easily redistributed and may be read by people beyond the original recipient list.

While the University does not generally monitor or limit content of information transmitted on the campus network, it reserves the right to access and review such information under certain conditions. These conditions include, but are not limited to, investigating performance deviations and system problems (with reasonable cause), determining if an individual is in violation of University policy, or, as may be necessary, to serve the business needs of the University. Subject to applicable laws, the University, through its authorized officers, reserves and retains the right to access and inspect stored information without the consent of the user. Users are advised that electronic data (and communications using the University network for transmission and storage) may be reviewed and/or accessed by authorized University officials for purposes related to University business. Authority to access user files can come only from the Vice President of Computing and Information Services or his/her delegate (the Director of IT Security), in conjunction with the Provost and General Counsel.

View further details about the University’s policy regarding responsible use of computers and network services online at:
www.brown.edu/Facilities/CIS/policy/
Financial Policies

It is the responsibility of every employee to conduct University business with a sense of integrity and sound judgment. As such, all employees must take personal responsibility for understanding and following the related financial policies. All revenue and expenses must be recorded accurately and in a timely manner. All financial transactions are to be in accordance with University policies. Individuals responsible for financial or payroll management must review all financial statements/information in a timely manner and are responsible for reporting suspected fraudulent activity. This responsibility includes, but is not limited to, the accurate reporting of receipts, hours worked, vacation and sick time accrued and used, and expenses to all University accounts.

Employees shall avoid any behavior that may be perceived as unethical or as compromising their fiduciary responsibility.

Financial Commitment Authority

Employees may not commit Brown resources without appropriate authority, and must act with appropriate stewardship of University resources. It is the employee’s responsibility to review and follow all Brown University policies.

Key financial responsibilities include: use of the purchasing card, petty cash management, payment to vendors, appropriate cash deposits, and use of established University bank accounts.

For details regarding these and other University financial policies, employees should review the following websites:
- Controller’s Office
  www.brown.edu/Administration/Controllers_Office/
- Financial Services
  www.brown.edu/Administration/Finance_and_Admin/
- Internal Audit
  www.brown.edu/Administration/Internal_Audit/
- Financial Services
  www.brown.edu/Administration/Student_Financial_Services/
Overtime and Compensatory Time for NonExempt Employees

University pay practices are informed by the Fair Labor Standards Act (FLSA); the federal law governing minimum wages, the exempt or nonexempt status of positions, and overtime pay requirements.

To meet FLSA obligations, all non-exempt employees covered by the Federal Wage and Hour Law (all union, non-exempt and limited duration employees) must record hours worked each week by completing an individual time tracking sheet or by other approved means of time reporting.

For further details, refer to HR Policy #40.031, Overtime and Compensatory Time for Employees in Nonexempt Positions, online at:
www.brown.edu/Administration/Human_Resources/policies/40.031.html

Payroll Overpayments and Underpayments

Employees will be paid in accordance with the pay cycles established by the University. Work performed during a pay cycle should be paid at the next regular pay date. In the continual process of preparing staff paychecks, employees may occasionally be underpaid or overpaid. When active employees receive overpayments from Brown University, it is the obligation of the employee to repay the amount overpaid by Brown, and the University will make every effort to recover any such overpayments. If an employee has been underpaid, s/he should contact the supervisor or manager to report the occurrence.

For further details refer to: HR Policy 40.033, Employee Underpayments and Overpayments online at:
www.brown.edu/Administration/Human_Resources/policies/40.033.html
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13 Audits

14 Audits, Investigations and Legal Proceedings

7 Brown Card
   www.brown.edu/Administration/Student_Financial_Services/Browncard/Information/about.shtml

8 Confidentiality

8 Safeguarding Confidential Information
   www.brown.edu/Administration/Human_Resources/policies/20.063.html
   www.brown.edu/Facilities/CIS/policy/protectinginfo.html
   www.brown.edu/Administration/Research_Administration/nwww/ora-handbook/secvipol/misconduct.html
   www.brown.edu/Administration/Research_Administration/nwww/policies/polycies/polyandproce.htm
   www.brown.edu/Administration/Research_Administration/nwww/sponsored/handbook.html
   www.lifespan.org/research/Policies/policydirectory.htm
   www.brown.edu/Administration/Public_Safety/

9 Safeguarding Confidential Medical Information
   www.brown.edu/Administration/Human_Resources/policies/30.022.html

10 Conflict of Interest Guidelines
   www.brown.edu/Administration/Human_Resources/policies/20.065.html

6 Discrimination and Harassment
   www.brown.edu/Administration/EEO-AA/
   www.brown.edu/Administration/Human_Resources/policies/

15 Drugs in the Workplace
   http://www.brown.edu/Administration/Human_Resources/policies/20.042.html

14 Environmental Protection and Employee Safety

14 Environmental Protection
   www.brown.edu/Administration/Provost/Environmental_Policy.html

15 Smoking
   www.brown.edu/Administration/Human_Resources/policies/20.064.html

15 Workplace Violence
   www.brown.edu/Administration/Human_Resources/policies.html

5 Equal Employment Opportunity
   www.brown.edu/Administration/EEO-AA/empguide.html

7 Ethical Behavior and Adherence to University Policy is Every Individual’s Responsibility
23 Financial Commitment Authority

Review the following websites:

Controller’s Office
www.brown.edu/Administration/Controllers_Office/

Finance and Administration
www.brown.edu/Administration/Finance_and_Admin

Internal Audit
www.brown.edu/Administration/Internal_Audit

Student Financial Services
www.brown.edu/Administration/Student_Financial_Services

23 Financial Policies

17 Fraudulent Activity
www.brown.edu/Administration/Internal_Audit/Web.charter.html

14 Government Investigations and Litigation Against the University

18 Intellectual Property

19 Brown’s Intellectual Property Policy

19 Copyright and Fair Use
www.brown.edu/Administration/Copyright/

20 Trademarks
www.brown.edu/webmaster/visual_identity/

24 Overtime and Compensatory Time for Nonexempt Employees
www.brown.edu/Administration/Human_Resources/policies/40.031.html

24 Payroll Overpayments/Underpayments
www.brown.edu/Administration/Human_Resources/policies/40.033.html

11 Political Activity Guidelines

5 Positive Work Environment

Appropriate standards for relationships between staff and students can be viewed online at:

www.brown.edu/Administration/EEO-AA/sexpol.html
http://www.brown.edu/Administration/EEO-AA/sexbroch.html
www.brown.edu/Administration/Human_Resources/policies/20.072.html
www.brown.edu/Student_Services/Office_of_Student_Life/randr/principles.html
brownbears.collegesports.com/compliance/brow-compliance.html

Appropriate standards for relationships between faculty and students can be viewed online at:

www.brown.edu/Faculty/Faculty_Governance/rules.html
17 Reporting Illegal Acts and/or Misconduct

Additional Information can be viewed online at:
www.brown.edu/Administration/Public_Safety/CCR/2004/#filing
The Silent Witness Form can be accessed online at:
www.brown.edu/Administration/Public_Safety/

17 Fraudulent Activity
www.brown.edu/Administration/Internal_Audit/Web.charter.html

17 Research Administration
www.brown.edu/Administration/Research_Administration/nwww/ORAServices.html

18 Research Administration, Scientific Misconduct, Intellectual Property

22 Responsible Use of Network and Computing Resources
www.brown.edu/Facilities/CIS/policy/

19 Scientific Misconduct Policy
www.brown.edu/Administration/Research_Administration/nwww/ora-handbook/secvipol/misconduct.html

6 Sexual Harassment
Additional information on what constitutes sexual harassment, where to report it, how it is handled and other aspects are described in detail and available in hard copy by contacting 863-2389 or can be viewed online at:
www.brown.edu/Administration/EEO-AA/sexpol.html
A condensed version is available in hard copy by calling 863-2389 or can be viewed online at:
www.brown.edu/Administration/EEO-AA/sexbroch.html
The Human Resources Policy regarding Sexual Harassment can be viewed online at:
www.brown.edu/Administration/Human_Resources/policies/20.072.html

11 Solicitation in the Workplace
www.brown.edu/Administration/Human_Resources/policies/20.065.html

12 Student Athlete Regulations
brownbears.cstv.com/compliance/brow-compliance.html

20 Trademarks
www.brown.edu/webmaster/visual_identity/

22 University Assets
www.brown.edu/Administration/Finance_and_Admin/Purchasing/

21 University Resources

5 Respect for University Resources
www.brown.edu/Facilities/CIS/policy/

21 Utilization of University Resources and Assets

8 Work Effort and Commitment
www.brown.edu/Administration/Human_Resources/policies/20.061.html
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This is a Reference Document Only

This handbook is intended to be a reference document only and does not include all policies or incorporate the entirety of policies included in it. Brown University reserves the right to create additional policies, terminate current policies or modify policies as it deems necessary for the conduct of its business. In situations where this handbook is in conflict with the full text of an authorized University policy, the terms and conditions of the approved policy will control. Nothing in this handbook should be considered to constitute a contract of employment, expressed or implied. All employees covered by this handbook are employed on an at-will basis and Brown reserves the right to terminate an individual’s employment at any time.